



PTO/SB/21 (05-03)

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| | | | |
|--|----|------------------------|-------------|
| TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i> | | Application Number | 10/726,130 |
| | | Filing Date | Dec 1, 2003 |
| | | First Named Inventor | Sun, Yupin |
| | | Art Unit | 2873 |
| | | Examiner Name | unknown |
| Total Number of Pages in This Submission | 5* | Attorney Docket Number | 3084.017 |

| ENCLOSURES (check all that apply) | | |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <small>Return postcard to Applicant's Attorney</small> |
| <input type="text"/> Remarks <small>*Exclusive of patents and publications</small> | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | SINSHEIMER, SCHIEBELHUT & BAGGETT by Julie A. Hopper (Reg. No. 50869) |
| Signature | |
| Date | March 26, 2004 |

| CERTIFICATE OF TRANSMISSION/MAILING | | |
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| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.P. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | | |
| Type or printed | Julie A. Hopper | |
| Signature | | Date March 26, 2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Sun et al.

Serial No.: 10/726,130

Filed: 12/1/2003

Title: APPARATUS AND METHOD FOR
USE IN FULFILLING
ILLUMINATION PRESCRIPTION

Attorney Docket No.: 3084.017

Group Art Unit:

2873

Examiner:

unknown

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

under 37 CFR 1.97(b), or

(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)

under 37 CFR 1.97(c) together with either a:

Statement under 37 CFR 1.97(e), or

a \$180.00 fee under 37 CFR 1.17(p), or

(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

under 37 CFR 1.97(d) together with a:

Statement under 37 CFR 1.97(e), and

a \$180.00 fee set forth in 37 CFR 1.17(p).

(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s) submit herewith Form PTO/SB/08A Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08A are either in the English language or an English translation is provided, therefore, no further explanation is required, with the exception of the following non-English reference. A concise explanation, as presently understood, is as follows:

SU 1282051 A1 appears to be related to a luminous energy collimator having a paraboloid axis inclined at angle towards symmetry axis given by relationship.

Applicant submits that the above references taken alone or in combination neither anticipates nor renders obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

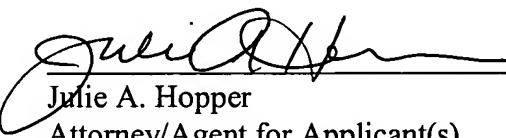
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Date of Deposit: March 26, 2004

Typed Name: Julie A. Hopper

Signature: 

SINSHEIMER, SCHIEBELHUT &
BAGGETT



Julie A. Hopper
Attorney/Agent for Applicant(s)
Reg. No. 50869

Date: March 26, 2004

Telephone No.: (805) 781-2824



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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

1

of

2

| <i>Complete if Known</i> | |
|--------------------------|------------|
| Application Number | 10/726,130 |
| Filing Date | 12/1/2003 |
| First Named Inventor | Sun et al. |
| Art Unit | 2873 |
| Examiner Name | unknown |

Attorney Docket Number 3084.017

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
| | | Number - Kind Code ² (<i>if known</i>) | | | |
| | | US appl no. 10/269,479 | 10-11-2002 | Benitez | |
| | | US appl no. 10/461,557 | 06-12-2003 | Minano | |
| | | US appl no. 10/622,874 | 07-18-2003 | Minano | |
| | | US appl no. 10/772,088 | 02-03-2004 | Minano, et al. | |
| | | US appl no. 10/779,259 | 02-13-2004 | Benitez | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | ⁴ ⁵ |
|--------------------|-----------------------|--|--------------------------------|--|---|------------------------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (<i>if known</i>) | | | | |
| | | SU 1282051 A1 | 01-07-1987 | Spigulis | | |
| | | EP 0 450 560 A2 | 10-09-1991 | Totah, et al. | | |
| | | WO 99/09349 | 02-25-1999 | De Coma International Inc. | | |
| | | WO 99/13266 | 03-18-1999 | Simon | | |
| | | WO 01/07828 A1 | 02-01-2001 | Pelka | | |
| | | WO 03/066374 A2 | 08-14-2003 | Steen, et al. | | |
| | | WO 03/066374 A3 | 08-14-2003 | Steen | | |
| | | WO 04/007241 A2 | 01-22-2004 | Steen, et al. | | |

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Signature

Date
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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MAR 29 2004

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | Application Number | 10/726,130 |
| | | Filing Date | 12/1/2003 |
| | | First Named Inventor | Sun et al. |
| | | Art Unit | 2873 |
| | | Examiner Name | unknown |
| Sheet | 2 | of | 2 |
| | | Attorney Docket Number | |

NON-PATENT LITERATURE DOCUMENTS

| | | | |
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| Examiner Signature | | Date Considered | |
|-------------------------------|--|----------------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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